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| FORM PTO-1449 (Modified)<br><br>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S<br>INFORMATION<br>DISCLOSURE STATEMENT<br><br>(Use several sheets if necessary) | ATTY. DOCKET NO.<br>ROC920010184US1 | SERIAL NO.<br>09/892,435 |
| APPLICANT:<br>Royan H. Bartley et al.  |                                     |                          |
| FILING DATE:<br>June 27, 2001  |                                     | GROUP:<br>Unassigned     |



REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

| EXAMINER INITIALS | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE (IF APPRO.) |
|-------------------|-----------------|------|------|-------|-----------|-------------------------|
| AA                |                 |      |      |       |           |                         |
| AB                |                 |      |      |       |           |                         |
| AC                |                 |      |      |       |           |                         |
| AD                |                 |      |      |       |           |                         |
| AE                |                 |      |      |       |           |                         |
| AF                |                 |      |      |       |           |                         |
| AG                |                 |      |      |       |           |                         |
| AH                |                 |      |      |       |           |                         |
| AI                |                 |      |      |       |           |                         |
| AJ                |                 |      |      |       |           |                         |
| AK                |                 |      |      |       |           |                         |

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FOREIGN PATENT DOCUMENTS

| DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
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|                 |      |         |       |           | YES NO      |
| AL              |      |         |       |           |             |
| AM              |      |         |       |           |             |
| AN              |      |         |       |           |             |
| AO              |      |         |       |           |             |
| AP              |      |         |       |           |             |

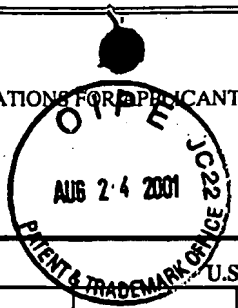
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

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|------------------------|----------------------------|---|
| /AB/<br><br>↓<br><br>↓ | AR<br><br><br>AS<br><br>AT | U.S. Patent Application, "Apparatus, Method, and Business Method for Enabling Customer Access to Computer System Performance Data in Exchange for Sharing the Performance Data," Serial No. 09/892,424, filed on June 27, 2001.<br><br>U.S. Patent Application, "Method and Apparatus for Automating Software Upgrades," Serial No. 09/912,975, filed on July 25, 2001.<br><br>U.S. Patent Application, "Method and Apparatus Upgrade Assistance Using Critical Historical Product Information," Serial No., 09/865,371, filed on May 25, 2001. |
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| EXAMINER /Asghar Bilgrami/ | DATE CONSIDERED 04/26/2007 |
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| FILING DATE:<br>June 27, 2001   |                                     | GROUP:<br>Unassigned     |



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|-------------------|-----------------|------|------|-------|-----------|-------------------------|
| BA                |                 |      |      |       |           |                         |
| BB                |                 |      |      |       |           |                         |
| BC                |                 |      |      |       |           |                         |
| BD                |                 |      |      |       |           |                         |
| BE                |                 |      |      |       |           |                         |
| BF                |                 |      |      |       |           |                         |
| BG                |                 |      |      |       |           |                         |
| BH                |                 |      |      |       |           |                         |
| BI                |                 |      |      |       |           |                         |
| BJ                |                 |      |      |       |           |                         |
| BK                |                 |      |      |       |           |                         |

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**FOREIGN PATENT DOCUMENTS**

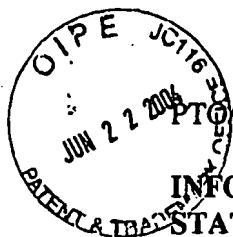
|    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |    |
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| BL |                 |      |         |       |           |             |    |
| BM |                 |      |         |       |           |             |    |
| BN |                 |      |         |       |           |             |    |
| BO |                 |      |         |       |           |             |    |
| BP |                 |      |         |       |           |             |    |

**OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)**

|      |    |  |
|------|----|--|
| /AB/ | BR | U.S. Patent Application, "Physical Device Placement Assistant," Serial No. 09/865,798, filed on May 25, 2001.  |
| /AB/ | BS | AS/400 Publication, "Performance Management/400 Offerings and Services, including Performance Management/400 - Subset," Version 3, SC41-0145-02, September 1994. |
| /AB/ | BT |  |

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| EXAMINER /Asghar Bilgrami/ | DATE CONSIDERED 04/26/2007 |
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 1 of 1

Application Number.: 09/892,435  
Filing Date: June 27, 2001  
First Named Inventor: Royan H. Bartley  
Art Unit: 2152  
Examiner Name: Unassigned  
Attorney Docket Number.: ROC920010184US1

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

| Examiner<br>Initials | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate),<br>title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s),<br>volume-issue number(s), publisher, city and or country where published. | T <sup>2</sup> |
|----------------------|--------------------------|---|----------------|
| /AB/                 |                          | Emil Abrascid, Data Manager Online, Copyright 1999.   |                |
| /AB/                 |                          | IBM e-business on demand: the next wave of IT Services by IBM Global Services,<br>January 2002.   |                |
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| Examiner Signature | /Asghar Bilgrami/ | Date Considered | 04/26/2007 |
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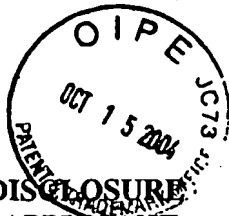
<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 1 of 1



Application Number.: 09/892,435  
 Filing Date: June 27, 2001  
 First Named Inventor: Royan H. Bartley  
 Art Unit: 2143  
 Examiner Name: A. Bilgrami  
 Attorney Docket Number.: ROC920010184US1

**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number<br>Number - Kind Code <sup>2</sup><br>(if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited<br>Document | Pages, Columns<br>or Lines Where<br>Relevant Passages<br>or Figs. Appear |
|--------------------|-----------------------|--|--------------------------------|---|--|
| /AB/               |                       | US - 5.845.077   | 12-01-1998                     | Fawcett   |  |
| ↓                  |                       | US - 5.930.357   | 07-27-1999                     | Fukui   |  |
| ↓                  |                       | US - 6.425.126   | 07-23-2002                     | Branson et al.  |  |
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|                    |                       | US -   |                                |   |  |
|                    |                       | US -   |                                |   |  |
|                    |                       | US -   |                                |   |  |
|                    |                       | US -   |                                |   |  |
|                    |                       | US -   |                                |   |  |
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**FOREIGN PATENT DOCUMENTS**

| Examiner Initials | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup><br>Code (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited<br>Document | Pages, Columns<br>or Lines Where<br>Relevant<br>Passages or Figs.<br>Appear | T <sup>6</sup> |
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| Examiner Signature | /Asghar Bilgrami/ | Date Considered | 04/26/2007 |
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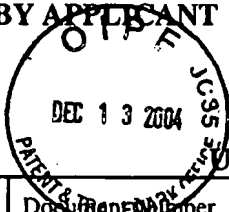
<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

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Sheet 1 of 1



Application Number.: 09/892,435  
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 First Named Inventor: Royan H. Bartley  
 Art Unit: 2143  
 Examiner Name: A. Bilgrami  
 Attorney Docket Number.: ROC920010184US1

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|--------------------|-----------------------|--|--------------------------------|---|--|
| /AB/               |                       | US - 2002/0052947 A1   | 05-02-2002                     | Duimovich et al.                                      |  |
| ↓                  |                       | US - 2002/0156884 A1   | 10-24-2002                     | Bertram et al.  |  |
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|                    |                       | US -   |                                |   |  |
|                    |                       | US -   |                                |   |  |
|                    |                       | US -   |                                |   |  |
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Sheet 1 of 1



Application Number.: 09/892,435

Filing Date: June 27, 2001

First Named Inventor: Royan H. Bartley

Art Unit: 2143

Examiner Name: Asghar Bilgrami

Attorney Docket Number.: ROC920010184US1

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|                    |                       | US - 6.138.249 A   | 10-24-2000                     | Nolet   |  |
|                    |                       | US - 6.170.060 B1  | 01-02-2001                     | Mott et al.   |  |
|                    |                       | US - 6.247.128 B1  | 06-12-2001                     | Fisher et al.   |  |
|                    |                       | US - 6.289.462 B1  | 09-11-2001                     | McNabb et al.   |  |
|                    |                       | US - 6.321.338 B1  | 11-20-2001                     | Porras et al.   |  |
|                    |                       | US - 6.591.418 B2  | 07-08-2003                     | Bryan et al.  |  |
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|                    |                       | US - 6.798.997 B1  | 09-28-2004                     | Hayward et al.  |  |

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<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.